

# **Integrated Research, Education, and Extension Competitive Grants Program – National Integrated Water Quality Program**

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## ***FY 2002 Request for Applications***

**PROPOSAL DEADLINE: March 18, 2002**



**U.S. Department of Agriculture**



**Cooperative State Research, Education, and Extension Service**

**SUMMARY:** The Cooperative State Research, Education, and Extension Service (CSREES) announces the availability of grant funds and requests applications for the Integrated Research, Education, and Extension Competitive Grants Program - National Integrated Water Quality Program (NIWQP) for fiscal year (FY) 2002 to develop research, education, and extension projects aimed at improving the quality of water resources in agricultural watersheds across the Nation. The amount available for support of this program in FY 2002 is approximately \$9,348,773.

This notice identifies the objectives for NIWQP projects, the eligibility criteria for projects and applicants, and the application forms and associated instructions needed to apply for a NIWQP grant. CSREES additionally requests stakeholder input from any interested party for use in the development of the next Request for Applications (RFA) for this program.

**DATES:** Applications must be received by close of business (COB) on March 18, 2002 (5:00 p.m. Eastern Time). Applications received after this deadline will not be considered for funding. Comments regarding this RFA are requested within six months from the issuance of this notice. Comments received after that date will be considered to the extent practicable.

**ADDRESSES:** The address for hand-delivered applications or applications submitted using an express mail or overnight courier service is: National Integrated Water Quality Program; c/o Proposal Services Unit; Cooperative State Research, Education, and Extension Service; U.S. Department of Agriculture; Room 1307, Waterfront Centre; 800 9<sup>th</sup> Street, S.W.; Washington, D.C. 20024; Telephone: (202)401-5048.

Applications sent via the U.S. Postal Service must be sent to the following address: National Integrated Water Quality Program; c/o Proposal Services Unit; Cooperative State Research, Education, and Extension Service; U.S. Department of Agriculture; STOP 2245; 1400 Independence Avenue, S.W.; Washington, D.C. 20250-2245.

Written stakeholder comments should be submitted by mail to: Policy and Program Liaison Staff; Office of Extramural Programs; USDA-CSREES; STOP 2299; 1400 Independence Avenue, S.W.; Washington, D.C. 20250-2299; or via e-mail to: [RFP-OEP@reeusda.gov](mailto:RFP-OEP@reeusda.gov). (This e-mail address is intended only for receiving comments regarding this RFA and not requesting information or forms.) In your comments, please state that you are responding to the National Integrated Water Quality Program RFA.

**FOR FURTHER INFORMATION CONTACT:** Applicants and other interested parties are encouraged to contact Dr. Michael P. O'Neill; National Program Leader for Water Quality; National Resources and Environment Unit; Cooperative Extension Service; U.S. Department of Agriculture; STOP 2210; 1400 Independence Avenue, S.W.; Washington, D.C. 20250-2220; Telephone: (202) 205-5952; Fax: (202) 401-1706; email address: [moneill@reeusda.gov](mailto:moneill@reeusda.gov).

**STAKEHOLDER INPUT:** CSREES is requesting comments regarding this RFA from any interested party. These comments will be considered in the development of the next RFA for the program. Such comments will be used to meet the requirements of section 103(c)(2) of the Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7613(c)(2)). This section requires the Secretary to solicit and consider input on a current RFA from persons who conduct or use agricultural research, education and extension for use in formulating future RFA's for competitive programs. Comments should be submitted as provided for in the **Addresses** and **Dates** portions of this Notice.

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE:** This program is listed in the Catalog of Federal Domestic Assistance under 10.303, Integrated Research, Education, and Extension Competitive Grants Program.

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## **PART I--GENERAL INFORMATION**

### ***A. Legislative Authority and Background***

Section 406 of the Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) (7 U.S.C. 7626) authorized the Secretary of Agriculture to establish a research, education, and extension competitive grants program to provide funding for integrated, multifunctional agricultural research, extension, and education activities. Subject to the availability of appropriations to carry out this program, the Secretary may award grants to colleges and universities (as defined by section 1404 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA) (7 U.S.C. 3103) ) on a competitive basis for integrated research, education, and extension projects. Grants are to be awarded to address priorities in United States agriculture that involve integrated research, education, and extension activities as determined by the Secretary in consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board.

The entire Integrated Research, Education, and Extension Competitive Grants Program is funded in FY 2002 at \$40,794,151 (after deduction for administrative expenses) for the following integrated activities: Water Quality (\$12,348,773), Food Safety (\$14,247,128), and Pest Management (\$14,198,250). The Pest Management component includes five program areas: Pest Management Centers (\$4,313,522), Crops at Risk (\$1,424,858), Risk Avoidance and Mitigation Program (\$4,654,537), Methyl Bromide Transitions Program (\$2,377,619), and Organic Transitions Program (\$1,427,714). There will be four RFA's for the entire Integrated Research, Education, and Extension Competitive Grants Program. The Food Safety component will have one RFA and the Water Quality component will have two RFA's, while the latter five components will be announced as one RFA for Pest Management. This RFA announces and describes one of the RFA's for the Water Quality component. The other Water Quality RFA was published in the *Federal Register* on August 8, 2001 [66 FR 41741-41753] and solicited applications for the Nutrient Science for Improved Watershed Management Program. Approximately \$3,000,000 of the Water Quality funds will be used to support successful applications solicited for the Nutrient Science for Improved Watershed Management Program along with approximately \$4,000,000 from the United States Environmental Protection Agency (USEPA). As a result, approximately \$9,348,773 is available to fund successful applications for the National Integrated Water Quality Program (NIWQP).

CSREES will administer the Integrated Research, Education, and Extension Competitive Grants Program by determining priorities in United States agriculture through Agency stakeholder input processes in consultation with the National Agricultural Research, Extension, Education, and Economics Advisory Board. Each RFA for the different program areas (i.e., Food Safety, Water Quality, and Pest Management) will be developed each fiscal year based on these established priorities. Although this overall grant program seeks to solve critical agricultural issues through an integration of research, education, and extension activities, a component of an RFA, depending on the priority being addressed, may request applications that are research, education, or extension only, or a combination thereof. However, the overall overarching approach to

solving the critical agricultural issue, priority, or problem will be through an integration of research, education, and extension activities within each individual program area.

### ***B. Purpose, Priorities, and Fund Availability***

There is no commitment by USDA to fund any particular application or to make a specific number of awards. Approximately \$9,348,773 will be available to fund applications in FY 2002. Applications are being solicited for the National Integrated Water Quality Program under the following areas:

- (1) National Facilitation Projects;
- (2) Regional Water Quality Coordination Projects;
- (3) Extension Education Projects; and
- (4) Integrated Research, Education, and Extension Projects.

### ***C. Eligibility***

Applications may be submitted by colleges and universities as defined in section 1404 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA). The terms “college” and “university” mean an educational institution in any State which (1) admits as regular students only persons having a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate, (2) is legally authorized within such State to provide a program of education beyond secondary education, (3) provides an educational program for which a bachelor’s degree or any other higher degree is awarded, (4) is a public or other nonprofit institution, and (5) is accredited by a nationally recognized accrediting agency or association. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information). Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project.

**Please note that a research foundation maintained by a college or university is not eligible to receive an award under this program. Applications received from research foundations will not be considered for funding.**

### ***D. Indirect Costs***

Section 1462 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (7 U.S.C. 3310) limits indirect costs for this program to 19 percent of total Federal funds provided under each award. Therefore, the recovery of indirect costs under this program may not exceed the lesser of the institution’s official negotiated indirect cost rate and the equivalent of 19 percent of the total Federal funds awarded. Another method of calculating the maximum allowable is 23.456 percent of the total direct costs. (This limitation also applies to the recovery of indirect costs by any subawardee or subcontractor, and should be reflected in the subrecipient

budget). If no rate has been negotiated, a reasonable dollar amount (equivalent to or less than 19 percent of the total Federal funds requested) in lieu of indirect costs may be requested, subject to the approval of USDA. This same indirect cost limitation applies to subcontracts.

## ***E. Matching Requirements***

### **1. General Requirement**

If a grant provides a particular benefit to a specific agricultural commodity, the grant recipient is required to provide funds or in-kind support to match the amount of the grant funds provided. See section 12. c. on “Matching Funds” under Part III. B., “Content of Applications” for more details.

### **2. Waiver**

CSREES may waive the matching funds requirement specified in the above paragraph for a grant if CSREES determines that (a) the results of the project, while of particular benefit to a specific agricultural commodity, are likely to be applicable to agricultural commodities generally; or (b) the project involves a minor commodity, the project deals with scientifically important research, and the grant recipient is unable to satisfy the matching funds requirement.

## ***F. Funding Restrictions***

CSREES has determined that grant funds awarded under this authority may not be used for the renovation or refurbishment of research, education, or extension space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

## ***G. Types of Applications***

In FY 2002, applications may be submitted to the NIWQP as one of the following types of requests:

**(1) New application.** This is a project application that has not been previously submitted to the NIWQP. All new applications will be reviewed competitively using the selection process and evaluation criteria described in Part IV--Review Process.

**(2) Renewal application.** This is a project application that requests additional funding for a project beyond the period that was approved in an original or amended award. Applications for renewed funding must contain the same information as required for new applications, and additionally must contain a Progress Report (see Project Description, Part III.B.6). Renewal applications must be received by the relevant due dates, will be evaluated in competition with other pending applications in appropriate area to which they are assigned, and will be reviewed according to the same evaluation criteria as new applications.

**(3) Resubmitted application.** This is an application that had previously been submitted to the NIWQP but not funded. Project Directors (PD's) must respond to the previous review panel summary (see Response to Previous Review, Part III.B.5). Resubmitted applications must be received by the relevant due dates, will be evaluated in competition with other pending applications in appropriate area to which they are assigned, and will be reviewed according to the same evaluation criteria as new applications.

**(4) Resubmitted renewal application.** This is a project application that requests additional funding for a project beyond the period that was approved in the original award. In addition, this is an application that had previously been submitted for renewal to the NIWQP but not approved. Therefore, PD's must provide a Progress Report as required under the Project Description, Part III.B.6, and must respond to the previous review panel summary as required under Response to Previous Review, Part III.B.5. Resubmitted renewal applications must be received by the relevant due dates, will be evaluated in competition with other pending applications in appropriate areas to which they are assigned, and will be reviewed according to the same evaluation criteria as new applications.



## PART II-- PROGRAM DESCRIPTION

### *A. Project Types*

Approximately \$1,000,000 is available for **National Facilitation** applications. The maximum total award is \$400,000, with an annual funding limitation of \$100,000. The project period may be one to four years in duration. It is anticipated that three to five grants will be awarded in this program component.

Approximately \$2,000,000 is available for **Regional Water Quality Coordination** applications. Projects will be supported at expected levels of up to \$650,000 per year/per region for up to three years. Projects involving more than one region may be considered for larger funding. CSREES expects that some regions will request less funding due to a smaller number of states within the region. It is anticipated that three grants will be awarded in this program component.

Approximately \$2,000,000 is available for **Extension Education** applications. The maximum total award is \$300,000, with an annual funding limitation of \$100,000. The project period may be one to three years in duration. It is anticipated that 10-15 grants will be awarded in this program component.

Approximately \$3,500,000 is available for **Integrated Research, Education and Extension** applications. The maximum total award is \$600,000, with an annual funding limitation of \$200,000. The project period may be one to three years in duration. It is anticipated that 6-10 grants will be awarded in this program component.

Applications received in any of the aforementioned program areas should include budgets commensurate with the activities proposed. Grants awarded under the Program Area Descriptions of **National Facilitation, Extension Education, and Integrated Research, Education, and Extension** will be awarded as “Standard Grants”. Grants awarded under the Program Area Description of **Regional Water Quality Coordination** may be awarded as “Continuation Grants”.

### *B. Program Area Description*

The CSREES Water Quality Program has identified eight topical themes for research, education, and extension projects. These themes are: Animal Waste Management, Drinking Water and Human Health, Environmental Restoration, Nutrient and Pesticide Management, Pollution Assessment and Prevention, Watershed Management, Water Conservation and Agricultural Water Management, and Water Policy and Economics. In each of the four program areas - National Facilitation Grants, Regional Water Quality Coordination Grants, Extension Education Grants, and Integrated Research, Education, and Extension Grants, priority will be given to those proposals that address one or more of the eight themes listed above.

## **1. NATIONAL FACILITATION AND NATIONAL THEME DEVELOPMENT APPLICATIONS (PROGRAM AREA 110.A)**

**(Maximum award: \$100,000/year for up to four years for National Facilitation projects and \$75,000/project up to two years for National Theme Development projects).**

Applications are invited for projects that develop and initiate nationally coordinated programs that will contribute to an increase in public understanding and involvement in community decision-making and that facilitate the development of public policy on water resources issues. Applicants are encouraged to address one or more of the eight themes listed above. All applications are required to include anticipated accomplishments for each project year and a projected time-line. Two types of projects are solicited for in Program Area 110.A.

The first project type involves National Coordination of existing or new programs that seek to provide a common base of knowledge in support of individuals and communities grappling to formulate public policy and management strategies that will allow growth and increased profitability while protecting the water resource. Projects will be supported that facilitate the appropriate application of tools and techniques (i.e., Geographic Information Systems, decision support systems, remote sensing, economic analysis, and world wide web technologies) to strengthen awareness of the water quality impacts of current and proposed land use activities by both community decision-makers and individual property owners. These tools also can be used to target specific problems and locations in need of additional attention. Projects should contribute to an increase in community partnerships and networks that develop solutions to particular concerns identified through the projects and in response to increased citizen awareness of local issues. The result will be more citizen involvement, wider dispersal of information, and more rational analysis of environmental decisions in the community and the nation. Accomplishment reports should be delivered annually to the appropriate regional coordination group (see Regional Water Quality Coordination Applications below). While it is not required that projects be fully independent within the 4-year project period, it is expected that the timeline will culminate in the establishment of an independently supported national coordination effort.

The second project type involves National Theme Development efforts. National Theme Development projects may have a duration of one or two years and are limited to a maximum of \$75,000 for the entire project period. These projects should increase public awareness of the current state of research, extension, and education efforts as they relate to the eight national themes identified above. National Theme Development projects will encourage information sharing between research, extension, and education professionals to identify gaps in the knowledge or opportunities to improve coordination between research, extension, and education. Theme Development Proposals should result in improved synergy between the research, education, and extension communities. Specific activities could include, but are not limited to, a national symposium to address one or more of the eight identified themes; identifying gaps in research, extension, or education programs related to the eight identified themes; publication of documents highlighting integration of research, education, and extension programs; and development of web sites that will provide linkages to regional, state, and local research, education, and extension programs focused on one of the eight identified themes. Accomplishment reports should be delivered annually to the National Program Office and appropriate regional coordination groups (see Regional Water Quality Coordination Applications

below).

## **2. REGIONAL WATER QUALITY COORDINATION APPLICATIONS (PROGRAM AREA 110.B)**

**(Maximum award: \$650,000 per year/per region for up to two years. Projects involving more than one region may be considered for larger funding. CSREES expects that some regions will request less funding due to a smaller number of states within the region).**

CSREES invites applications to ensure the integration of water quality efforts within the jurisdiction of each of the ten regions established by the USEPA. In FY 2000 and 2001, funding was provided to support coordination within seven of the ten EPA Regions. For FY 2002, applications are requested to provide regional coordination activities in the remaining three EPA Regions. The EPA Regions are:

Region 3 - Delaware, Maryland, Pennsylvania, Virginia, West Virginia, and the District of Columbia.

Region 7 - Iowa, Kansas, Missouri, and Nebraska.

Region 9 - Arizona, California, Hawaii, Nevada, and the territories of Guam and American Samoa.

### **Applications may be submitted for one or any combination of regions.**

This component of the CSREES Water Quality Program is designed to make research, education, and extension resources of the university system more accessible to Federal, State, and local water quality improvement efforts, thus enhancing opportunities for agricultural producers and agriculturally impacted communities to adopt voluntary approaches for the improvement of water quality. Grantees are expected to facilitate the conceptualization and implementation of multi-partner efforts that minimize duplication of effort and that leverage multiple funding sources into a common collaborative effort. As such, it is expected that coordination grantees will initiate partnership activities with key water quality efforts in their region. Investigators should clearly identify the water quality issues and education, extension, and research efforts that are common to the region. Applicants also are encouraged to address one or more of the eight themes listed in Part II.B. A plan should be presented that establishes the approaches to be employed for regional resource sharing, communication, priority setting, and outreach. The application should also discuss Federal and State water quality activities in the region and present a strategy for establishing partnerships with appropriate programs.

Each application must include provision for a regional coordination mechanism (whether an individual, a committee, or an office) and for a Water Quality Research, Education, and Extension Coordinator in each State or Territory in the Region. Regional coordinators will be expected to work with CSREES National Program Leaders to provide liaison among Federal activities (e.g., USEPA Regional Offices, U.S. Geological Survey National Water Quality Assessment Program (USGS NAWQA) Coordination Offices, USDA Agricultural Research Service(ARS) Regional Offices, USDA Forest Service (FS) Regional Offices, National Aeronautics and Space Administration (NASA), National Oceanic and Atmospheric Administration (NOAA), Bureau of Land Management (BLM)), State environmental

organizations, and the State Water Quality Research, Education, and Extension Coordinators within the Region. Successful projects will provide more efficient development, evaluation, and dissemination of information on animal waste management, drinking water and human health, environmental restoration, nutrient and pesticide management, pollution assessment and prevention, watershed management, and water conservation and agricultural water management. Provision should be included in the budget request for the regional coordinator to participate in monthly conference calls as well as a national coordination meeting to be held annually in the Washington, D.C. area.

Each regional project must include a plan for the development and maintenance of a geo-referenced, watershed-based reporting system. **This reporting system will serve as the primary vehicle for reporting progress and accomplishments of the CSREES Water Quality Program.** Regional projects are expected: 1) to serve as the repository for the reporting of all projects funded on an ad hoc basis by other components of the CSREES Water Quality Program; 2) to collaborate in the linkage of their databases and reporting systems to other funded regions; 3) to periodically conduct water quality needs assessments for the region and report on partnerships and progress in water quality improvement; (4) to facilitate the incorporation of relevant projects that may become funded in the region through CSREES programs (including other sections of the Water Quality Program, the National Research Initiative, the Animal Waste Center, the Initiative for Future Agriculture and Food Systems) or through other federal and state programs (e.g., EPA 319, EPA National Center for Environmental Research and Quality Assurance (NCERQA), National Science Foundation (NSF), and NOAA); and 5) to be compatible with related information sources (e.g., USGS NAWQA Program, EPA Know Your Watershed, CSREES Integrated Pest Management Program, and the CSREES Pesticide Impact Assessment Program).

### **3. EXTENSION EDUCATION APPLICATIONS (PROGRAM AREA 110.C)**

**(Maximum award: \$100,000/year for one to three years).**

Applications are invited for Extension Education projects to address water quality issues of State or local importance. One mission of the CSREES Water Quality Program is to provide leadership in extension education that will enable individuals, industry, and government to effect changes enhancing and protecting the Nation's water resources for the public good. The vision is to be recognized as an important and effective partnership providing leadership for water quality education to help people, industry, and governments prevent and solve current and emerging water quality problems. Proposals for this program are expected to address one or more of the eight strategic extension priorities of the Water Quality Program (see <http://www.reeusda.gov/nre/water/strategi.htm>).

The seven areas of emphasis for the education program are under-served audiences, watersheds and aquifers, surface water systems, public policy, individual actions, volunteerism, and partnerships. Applicants are encouraged to develop extension education projects that address one or more of the eight theme areas listed in Part II. B. All applications are required to include specific, measureable accomplishments for each project year. Metadata and accomplishments reports will be delivered annually to the appropriate regional coordination group. See "Regional Water Quality Coordination Applications" above.

#### **4. INTEGRATED RESEARCH, EDUCATION, AND EXTENSION APPLICATIONS (PROGRAM AREA 110.D)**

**(Maximum award: \$200,000/year up to three years).**

Applications are invited that integrate water quality research, education, and extension to solve water quality problems at the whole watershed. Applications should: a) identify the cause of water quality degradation; b) conduct research filling the gaps that are critical to the development of water improvement practices and programs; c) implement watershed-scale improvement programs; d) evaluate and monitor the efficacy of the improvement programs implemented; e) assess the costs and benefits of water quality management practices that are developed; and f) conduct evaluations closing the loop and improving our understanding of the drivers of water quality degradation. Each application is expected to present a fully integrated research, education, and extension approach to accomplish the objectives listed in a) through f) above. CSREES also encourages the inclusion of a curriculum development component that takes advantage of the integrated watershed activities to enhance environmental education at all levels. The proposing investigators are expected to justify watershed selection (e.g., the level of water quality degradation - chemical, physical, and biological; the relative distribution of agricultural, range or forestry land uses within the watershed; and/or proximity to coastal resources) and to demonstrate capacities for establishing and/or maintaining watershed-wide partnerships for the project's implementation. Preference will be given to applications that: 1) demonstrate a substantial potential to contribute long term information, existing opportunities for leveraging support and cost sharing, and active public and private sector participation; 2) take advantage of the participatory educational and extension opportunities engendered by the watershed's restoration and by its continued management; and/or 3) focus on watersheds where the project will better inform policy makers in developing the most equitable multi-state and/or regional strategies for water quality improvement. Applicants are encouraged to address one or more of the eight theme areas identified in Part II. B. All applications are required to include specific, measurable accomplishments each project year. Metadata and accomplishments reports will be delivered annually to the appropriate regional coordination groups. See "Regional Water Quality Coordination Applications" above.

## **PART III--PREPARATION OF AN APPLICATION**

### ***A. Program Application Materials***

Program application materials are available at the CSREES Funding Opportunities web site (<http://www.reeusda.gov/1700/funding/ourfund.htm>). If you do not have access to the web page or have trouble downloading material and you would like a hardcopy, you may contact the Proposal Services Unit, Office of Extramural Programs, USDA/CSREES at (202) 401-5048. When calling the Proposal Services Unit, please indicate that you are requesting the RFA and associated application forms for National Integrated Water Quality Program (NIWQP). These materials also may be requested via Internet by sending a message with your name, mailing address (not e-mail) and phone number to [psb@reeusda.gov](mailto:psb@reeusda.gov). State that you want a copy of the RFA and the associated application forms for National Integrated Water Quality Program (NIWQP).

### ***B. Content of Applications***

The applications should be prepared following the guidelines and the instructions below. Each application must contain the following elements in the order indicated:

#### **1. General**

Use the following guidelines to prepare an application. Proper preparation of applications will assist reviewers in evaluating the merits of each application in a systematic, consistent fashion:

- (a) Prepare the application on only one side of the page using standard size (8 1/2" x 11") white paper, one-inch margins, typed or word processed using no type smaller than 12 point font, and single or double spaced. Use an easily readable font face (e.g., Geneva, Helvetica, Times Roman).
- (b) Number each page of the application sequentially, starting with the Project Description, including the budget pages, required forms, and any appendices.
- (c) Staple the application in the upper left-hand corner. Do not bind. An original and nine (9) copies (10 total) must be submitted in one package, along with 10 additional copies of the "Project Summary," Form CSREES-2003, as a separate attachment.
- (d) Include original illustrations (photographs, color prints, etc.) in all copies of the application to prevent loss of meaning through poor quality reproduction.
- (e) The contents of the application should be assembled in the following order:
  - (1) Proposal Cover Page (Form CSREES-2002)
  - (2) Table of Contents
  - (3) Project Summary (Form CSREES-2003)
  - (4) Response to Previous Review

- (5) Project Description
- (6) References
- (7) Appendices to Project Description
- (8) Key Personnel
- (9) Collaborative Arrangements (including Letters of Support)
- (10) Conflict-of-Interest List (Form CSREES-2007)
- (11) Budget (Form CSREES-2004)
- (12) Budget Narrative
- (13) Matching
- (14) Current and Pending Support (Form CSREES-2005)
- (15) Assurance Statement(s) (Form CSREES-2008)
- (16) Compliance with the National Environmental Policy Act (NEPA) (Form CSREES-2006)
- (17) Page B, Proposal Cover Page (Form CSREES-2002), Personal Data on Project Director

## **2. Proposal Cover Page (Form CSREES-2002)**

### **Page A**

Each copy of each grant application must contain a “Proposal Cover Page”, Form CSREES-2002. One copy of the application, preferably the original, must contain the pen-and-ink signature(s) of the proposing PD’s and the authorized organizational representative (AOR), the individual who possesses the necessary authority to commit the organization's time and other relevant resources to the project. If there are more than four co-PD’s for an application, please list additional co-PD’s on a separate sheet of paper (with appropriate information and signatures) and attach to the Proposal Cover Page (Form CSREES-2002). Any proposed PD or co-PD whose signature does not appear on Form CSREES-2002 or attached additional sheets will not be listed on any resulting grant award. Complete both signature blocks located at the bottom of the “Proposal Cover Page” form. Please note that Form CSREES-2002 is comprised of two parts - Page A which is the “Proposal Cover Page” and Page B which is the “Personal Data on Project Director.”

Form CSREES-2002 serves as a source document for the CSREES grant database; it is therefore important that it be accurately completed in its entirety, especially the e-mail addresses requested in blocks 4.c. and 18.c. However, the following items are highlighted as having a high potential for errors or misinterpretations:

- (a) Type of Performing Organization (Block 6A and 6B). For block 6A, a check should be placed in the appropriate box to identify the type of organization which is the legal recipient named in block 1. Only one box should be checked. For block 6B, please check as many boxes that apply to the affiliation of the PD listed in block 16.
- (b) Title of Proposed Project (Block 7). The title of the project must be brief

(140-character maximum, including spaces), yet represent the major thrust of the effort being proposed. Project titles are read by a variety of nonscientific people; therefore, highly technical words or phraseology should be avoided where possible. In addition, introductory phrases such as “investigation of,” “research on,” “education for,” or “outreach that” should not be used.

Program to Which You Are Applying (Block 8). Enter National Integrated Water Quality Program (NIWQP). Include the Program Area and Number (e.g., National Facilitation Project 110.A).

(d) Type of Request (Block 14). Check the block for “New,” “Renewal,” “Resubmission,” or “Resubmitted Renewal.”

(e) Project Director (PD) (Blocks 16-19). Blocks 16-18 are used to identify the PD and Block 19 to identify co-PD’s. If needed, additional co-PD’s may be listed on a separate sheet of paper and attached to Form CSREES-2002, the Proposal Cover Page, with the applicable co-PD information and signatures. Listing multiple co-PD’s, beyond those required for genuine collaboration, is discouraged.

(f) Other Possible Sponsors (Block 21). List the names or acronyms of all other public or private sponsors including other agencies within USDA to which your application has been or might be sent. In the event you decide to send your application to another organization or agency at a later date, you must inform the identified CSREES program contact as soon as practicable. Submitting your application to other potential sponsors will not prejudice its review by CSREES; however, submitting the same (i.e., duplicate) application to another CSREES program is not permissible.

### **Page B**

Page B should be submitted only with the original signature copy of the application and should be placed as the last page of the original copy of the application. This page contains personal data on the PD(s). CSREES requests this information in order to monitor the operation of its review and awards processes. This page will not be duplicated or used during the review process. Please note that failure to submit this information will in no way affect consideration of your application.

## **3. Table of Contents**

For consistency and ease in locating information, each application must contain a detailed Table of Contents immediately following the proposal cover page. The Table of Contents should contain page numbers for each component of the application. Page numbering should begin with the first page of the Project Description.

## **4. Project Summary (Form CSREES-2003)**



The application must contain a “Project Summary,” Form CSREES-2003. The summary should be approximately 250 words, contained within the box, placed immediately after the Table of Contents, and not numbered. The names and affiliated organizations of all PD’s and co-PD’s should be listed on this form, in addition to the title of the project. The summary should be a self-contained, specific description of the activity to be undertaken and should focus on: overall project goal(s) and supporting objectives; plans to accomplish project goal(s); and relevance of the project to the goals of the National Integrated Water Quality Program (NIWQP). The importance of a concise, informative Project Summary cannot be overemphasized. If there are more than four co-PD’s for an application, please list additional co-PD’s on a separate sheet of paper (with appropriate information) and attach to the Project Summary (Form CSREES-2003).

## 5. Response to Previous Review

This requirement only applies to “Resubmitted Applications” as described under Part I, G, “Types of Applications.” Project Directors (PD’s) must respond to the previous review panel summary on no more than one page, titled “RESPONSE TO PREVIOUS REVIEW,” which is to be placed directly after the “Project Summary,” Form CSREES-2003.

## 6. Project Description

PLEASE NOTE: For **National Facilitation** Applications and **Extension Education** Applications, the Project Description shall not exceed ten (10) pages of written text and up to five (5) additional pages for figures and tables. For **Regional Water Quality Coordination** Applications and **Integrated Research, Education, and Extension** Applications, the Project Description shall not exceed fifteen (15) pages of written text and up to five (5) additional pages for figures and tables. These page limits have been established to ensure fair and equitable competition. The Project Description must include all of the following:

- (a) *Introduction:* A clear statement of the long-term goal(s) and supporting objectives of the proposed activities should be included. Summarize the body of knowledge or past activities which substantiate the need for the proposed project. Describe ongoing or recently completed significant activities related to the proposed activity including the work of key project personnel. Preliminary data/information pertinent to the proposed project should be included. In addition, this section should include in-depth information on the following, when applicable:
  - (i) Estimates of the magnitude of the issues and their relevance to stakeholders and to ongoing State-Federal food and agricultural research, education, and extension programs.
  - (ii) Role of the stakeholders in problem identification, planning, and implementation and evaluation as appropriate.
  - (iii) Reasons for having the work performed at the proposing institution.
- (b) *Objectives:* Clear, concise, complete, and logically arranged statement(s) of specific aims of the proposed effort must be included in all proposals.
- (c) *Methods:* The procedures or methods to be applied to the proposed effort should be explicitly stated. This section should include, but not necessarily be limited to:

- (i) a description of stakeholder involvement in problem identification, planning, implementation and evaluation;
  - (ii) a description of the proposed project activities in the sequence in which it is planned to carry them out;
  - (iii) techniques to be employed, including their feasibility and rationale for their use in this project;
  - (iv) kinds of results expected;
  - (v) means by which extension and education activities will be evaluated;
  - (vi) means by which data will be analyzed and interpreted;
  - (vii) details of plans to communicate results to stakeholders and the public;
  - (viii) pitfalls that might be encountered; and
  - (ix) limitations to proposed procedures.
- (d) *Cooperation and Institutional Units Involved:* Cooperative, multi-institutional and multidisciplinary applications are encouraged. Identify each institutional unit contributing to the project and designate the lead institution or institutional unit. When appropriate, the project should be coordinated with the efforts of other State and/or national programs. Clearly define the roles and responsibilities of each institutional partner of the project team.
- (e) *Facilities and Equipment:* All facilities which are available for use or assignment to the project during the requested period of support should be reported and described briefly. All items of major equipment or instrumentation available for use or assignment to the proposed project should be itemized. In addition, items of nonexpendable equipment needed to conduct and bring the project to a successful conclusion should be listed, including dollar amounts and, if funds are requested for their acquisition, justified.
- (f) *Project Timetable:* The proposal should outline all important phases as a function of time, year by year, for the entire project, including periods beyond the grant funding period.

In addition to the above, the **National Facilitation and Regional Water Quality Coordination** Applications should describe the roles and responsibilities of central coordinators and should present a management plan for the administration of the project including facilitation of communication, planning, and annual report preparation.

## 7. References

All references to works cited should be complete, including titles and all co-authors, and should conform to an acceptable journal format. References are not considered in the page-limitation for the Project Description.

## 8. Appendices to Project Description

Appendices to the Project Description are allowed if they are directly germane to the proposed project. The addition of appendices should not be used to circumvent the text and/or figures and tables page limitations.

## 9. Key Personnel

The following should be included, as applicable:

- (a) The roles and responsibilities of each PD and/or collaborator should be clearly described; and
- (b) The vitae of the PD and each co-PD, senior associate, and other professional personnel. This section should include vitae of all key persons who are expected to work on the project, whether or not CSREES funds are sought for their support. The vitae should be limited to two (2) pages each in length, excluding publications listings. The vitae should include a presentation of academic and research credentials, as applicable, e.g., earned degrees, teaching experience, employment history, professional activities, honors and awards, and grants received. A chronological list of **all** publications in **refereed journals** during the past **four (4) years**, including those in press, must be provided for each project member for whom a curriculum vitae is provided. Also list only those **non-refereed** technical publications that have **relevance** to the proposed project. All authors should be listed in the same order as they appear on each paper cited, along with the title and complete reference as these usually appear in journals.

## 10. Collaborative Arrangements

If it will be necessary to enter into formal consulting or collaborative arrangements with others, such arrangements should be fully explained and justified. If the consultant(s) or collaborator(s) are known at the time of application, a vitae or resume should be provided. In addition, evidence (e.g., letter of support) should be provided that the collaborators involved have agreed to render these services. The applicant also will be required to provide additional information on consultants and collaborators in the budget portion of the application. See instructions in the application forms for completing Form CSREES-2004, Budget.

## 11. Conflict-of-Interest List (Form CSREES-2007)

A "Conflict-of-Interest List," Form CSREES-2007, must be provided for all individuals who have submitted a vitae in response to item 9.(b) of this part. Each Form CSREES-2007 should list alphabetically, by the last names, the full names of the individuals in the following categories:

- (a) All co-authors on publications within the past four years, including pending publications and submissions; (b) all collaborators on projects within the past four years, including current and planned collaborations; (c) all thesis or postdoctoral advisees/advisors within the past four years; and (d) all persons in your field with whom you have had a consulting or financial arrangement within the past four years, who stand to gain by seeing the project funded. This form is necessary to assist program staff in excluding from application review those individuals who have conflicts of interest with the personnel in the grant application. The program contact must be informed of any additional conflicts of interest that arise after the application is submitted.

## **12. Budget**

### **a. General**

#### **(1) Budget Form (Form CSREES-2004)**

Prepare the Budget, Form CSREES-2004, **in accordance with instructions provided with the application forms.** A budget form is required for each year of requested support. In addition, a cumulative budget is required detailing the requested total support for the overall project period. The budget form may be reproduced as needed by applicants. Funds may be requested under any of the categories listed on the form, provided that the item or service for which support is requested is allowable under the authorizing legislation, the applicable statutes, regulations, and Federal cost principles, and these program guidelines, and can be justified as necessary for the successful conduct of the proposed project. Applicants also must include a budget narrative to justify their budget requests (see section b. below.)

#### **(2) Indirect Costs**

Indirect costs should be calculated as specified under Part I, D, “Indirect Costs,” and identified on Line L of the Budget (Form CSREES-2004).

#### **(3) Matching**

If a grant provides a particular benefit to a specific agricultural commodity, the grant recipient is required to provide funds or in-kind support to match the amount of the grant funds provided. See 12. c. on “Matching Funds” below for more details. CSREES may waive the matching funds requirement for a grant if CSREES determines that (a) the results of the project, while of particular benefit to a specific agricultural commodity, are likely to be applicable to the agricultural commodities generally; or (b) the project involves a minor commodity, the project deals with scientifically important research, and the grant recipient is unable to satisfy the matching funds requirement.

### **b. Budget Narrative**

All budget categories, with the exception of Indirect Costs, for which support is requested, must be individually listed (with costs) in the same order as the budget and justified on a separate sheet of paper and placed immediately behind the Budget form.

### **c. Matching Funds**

If an applicant concludes that matching funds are not required as specified under Part I. E., a justification should be included in the Budget Narrative. CSREES will consider this justification when ascertaining final matching requirements or in determining if required matching can be waived. CSREES retains the right to make final determinations regarding matching requirements.

For those grants, requiring matching funds as specified under Part I. E., proposals should include written verification of commitments of matching support (including both cash and in-kind contributions) from third parties. Written verification means:

- (a) For any third party cash contributions, a separate pledge agreement for each donation, signed by the authorized organizational representative of the donor organization and the applicant organization, which must include: (1) The name, address, and telephone number of the donor; (2) the name of the applicant organization; (3) the title of the project for which the donation is made; (4) the dollar amount of the cash donation; and (5) a statement that the donor will pay the cash contribution during the grant period; and
- (b) For any third party in-kind contributions, a separate pledge agreement for each contribution, signed by the authorized organizational representatives of the donor organization and the applicant organization, which must include: (1) The name, address, and telephone number of the donor; (2) the name of the applicant organization; (3) the title of the project for which the donation is made; (4) a good faith estimate of the current fair market value of the third party in-kind contribution; and (5) a statement that the donor will make the contribution during the grant period.

The sources and the amount of all matching support from outside the applicant institution should be summarized on a separate page and placed in the application immediately following the Budget Narrative. All pledge agreements must be placed in the application immediately following the summary of matching support.

The value of applicant contributions to the project shall be established in accordance with the applicable cost principles. Applicants should refer to OMB Circular A-21, Cost Principles for Educational Institutions, for further guidance and other requirements relating to matching and allowable costs.

### **13. Current and Pending Support (Form CSREES-2005)**

All applications must contain Form CSREES-2005 listing other current public or private support (including in-house support) to which personnel (i.e., individuals submitting a vitae in response to item 9.(b) of this part) identified in the application have committed portions of their time, whether or not salary support for person(s) involved is included in the budget. Please follow the instructions provided on this form. Concurrent submission of identical or similar applications to the possible sponsors will not prejudice application review or evaluation by the CSREES. However, an application that duplicates or overlaps substantially with an application already reviewed and funded (or to be funded) by another organization or agency will not be funded

under this program. **Please note that the project being proposed should be included in the pending section of the form.**

#### **14. Assurance Statement(s) (Form CSREES-2008)**

A number of situations encountered in the conduct of projects require special assurances, supporting documentation, etc., before funding can be approved for the project. In addition to any other situation that may exist with regard to a particular project, applications involving any of the following elements must comply with the additional requirements as applicable.

##### **a. Recombinant DNA or RNA Research**

As stated in 7 CFR Part 3015.205 (b)(3), all key personnel identified in the application and all endorsing officials of the proposing organization are required to comply with the guidelines established by the National Institutes of Health entitled, “Guidelines for Research Involving Recombinant DNA Molecules,” as revised. If your project proposes to use recombinant DNA or RNA techniques, you must so indicate by checking the “yes” box in Block 20 of Form CSREES-2002 (the Proposal Cover Page) and by completing Section A of Form CSREES-2008. For applicable applications recommended for funding, Institutional Biosafety Committee approval is required before CSREES funds will be released. Please refer to the application forms for further instructions.

##### **b. Animal Care**

Responsibility for the humane care and treatment of live vertebrate animals used in any grant project supported with funds provided by CSREES rests with the performing organization. Where a project involves the use of living vertebrate animals for experimental purposes, all key personnel identified in an application and all endorsing officials of the proposing organization are required to comply with the applicable provisions of the Animal Welfare Act of 1966, as amended (7 U.S.C. 2131 et seq.), and the regulations promulgated thereunder by the Secretary in 9 CFR Parts 1, 2, 3, and 4 pertaining to the care, handling, and treatment of these animals. If your project will involve these animals, you should check “yes” in block 20 of Form CSREES-2002 and complete Section B of Form CSREES-2008. In the event a project involving the use of live vertebrate animals results in a grant award, funds will be released only after the Institutional Animal Care and Use Committee has approved the project. Please refer to the application forms for further instructions.

##### **c. Protection of Human Subjects**

Responsibility for safeguarding the rights and welfare of human subjects used in any grant project supported with funds provided by CSREES rests with the performing organization. Guidance on this issue is contained in the National Research Act, Pub. L. No. 93-348, as amended, and implementing regulations promulgated by the Department under 7 CFR Part 1c. If you propose to use human subjects in your project, you should check the “yes” box in Block 20 of Form CSREES-2002 and complete Section C of Form CSREES-2008. Please refer to the application forms for additional instructions.

## **15. Certifications**

Note that by signing Form CSREES-2002 the applicant is providing the certifications required by 7 CFR Part 3017, regarding Debarment and Suspension and Drug-Free Workplace, and 7 CFR Part 3018, regarding Lobbying. The certification forms are included in the application package for informational purposes only. These forms should not be submitted with the application since by signing Form CSREES-2002 your organization is providing the required certifications. If the project will involve a subcontractor or consultant, the subcontractor/consultant should submit a Form AD-1048, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions, to the grantee organization for retention in their records. This form should not be submitted to USDA.

## **16. Compliance with the National Environmental Policy Act (NEPA) (Form CSREES-2006)**

As outlined in 7 CFR Part 3407 (the Cooperative State Research, Education, and Extension Service regulations implementing NEPA), the environmental data for any proposed project is to be provided to CSREES so that CSREES may determine whether any further action is needed. In some cases, however, the preparation of environmental data may not be required. Certain categories of actions are excluded from the requirements of NEPA.

In order for CSREES to determine whether any further action is needed with respect to NEPA, pertinent information regarding the possible environmental impacts of a particular project is necessary; therefore, Form CSREES-2006, “NEPA Exclusions Form,” must be included in the application indicating whether the applicant is of the opinion that the project falls within a categorical exclusion and the reasons therefore. If it is the applicant’s opinion that the proposed project falls within the categorical exclusions, the specific exclusion(s) must be identified.

Even though a project may fall within the categorical exclusions, CSREES may determine that an Environmental Assessment or an Environmental Impact Statement is necessary for an activity, if substantial controversy on environmental grounds exists or if other extraordinary conditions or circumstances are present which may cause such activity to have a significant environmental effect.

## ***C. Submission of Applications***

### **1. When to Submit (Deadline Date)**

Applications must be received by COB on March 18, 2002 (5:00 p.m. Eastern Time). Applications received after this deadline will not be considered for funding.

### **2. What to Submit**

An original and nine (9) copies must be submitted. In addition submit 10 copies of the application's Project Summary. All copies of the application and the Project Summary must be submitted in one package.

### **3. Where to Submit**

Applicants are strongly encouraged to submit completed applications via overnight mail or delivery service to ensure timely receipt by the USDA. The address for hand-delivered applications or applications submitted using an express mail or overnight courier service is:

National Integrated Water Quality Program (NIWQP)  
c/o Proposal Services Unit  
Cooperative State Research, Education, and Extension Service  
U.S. Department of Agriculture  
Room 1307, Waterfront Centre  
800 9<sup>th</sup> Street, S.W.  
Washington, D.C. 20024  
Telephone: (202) 401-5048

Applications sent via the U.S. Postal Service must be sent to the following address:

National Integrated Water Quality Program (NIWQP)  
c/o Proposal Services Unit  
Cooperative State Research, Education, and Extension Service  
U.S. Department of Agriculture  
STOP 2245  
1400 Independence Avenue, S.W.  
Washington, D.C. 20250-2245



#### ***D. Acknowledgment of Applications***

The receipt of all applications will be acknowledged by e-mail. Therefore, applicants are strongly encouraged to provide accurate e-mail addresses, where designated, on the Form CSREES-2002. If the applicant's e-mail address is not indicated, CSREES will acknowledge receipt of the application by letter.

If the applicant does not receive an acknowledgment within 60 days of the submission deadline, please contact the program contact. Once the application has been assigned an application number, please cite that number on all future correspondence.

## PART IV--REVIEW PROCESS

### ***A. General***

Each application will be evaluated in a 2-part process. First, each application will be screened to ensure that it meets the administrative requirements as set forth in this RFA. Second, applications that meet these requirements will be technically evaluated by a review panel.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) The level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

### ***C. Evaluation Criteria***

Technical merit, relevance to program goals and potential impact will be evaluated for each application. Applications must show evidence of strength in all of these areas to be rated highly for funding. Specific criteria for these proposal attributes are listed below.

- (1) Technical merit of all aspects of the application, including research, education, and extension components.*
  - (a) Conceptual adequacy of the overall approach;
  - (b) Extent to which proposed work addresses identified stakeholder needs;
  - (c) Conceptual adequacy of hypothesis or hypotheses on which plan is based;
  - (d) Suitability and feasibility of the methodology for conducting the work;
  - (e) Time allocated for attainment of the objectives;
  - (f) Qualifications of the project personnel;
  - (g) Institutional experience and competence in the identified area of work;
  - (h) Adequacy of available support personnel, equipment, and facilities;
  - (i) Extent to which proposed work integrates research, education, and extension; and
  - (j) Suitability and feasibility of the methodology for evaluating extension and education activities.

*(2) Relevancy to Program Goals and Potential Impact.*

- (a) Relationship of project objectives to national issues and objectives;
- (b) Regional or national magnitude of problem addressed;
- (c) Evidence of partnerships with other disciplines and institutions;
- (d) Extent to which end users are involved in problem identification, planning, implementation, and evaluation;
- (e) Probability of success of the project; and
- (f) Extent to which potential impact can be documented.

The **National Facilitation** applications and **Regional Water Quality Coordination** applications also will be judged on the quality of the management plan that is proposed.

**Priority will be given for integrated, multifunctional research, education, and extension projects.**

***D. Conflicts of Interest and Confidentiality***

During the peer evaluation process, extreme care will be taken to prevent any actual or perceived conflicts of interest that may impact review or evaluation. For the purpose of determining conflicts of interest, the academic and administrative autonomy of an institution shall be determined by reference to the 2002 Higher Education Directory, published by Higher Education Publications, Inc., 6400 Arlington Boulevard, Suite 648, Falls Church, Virginia 22042. Phone: (703) 532-2300. Web site: <http://www.hepinc.com>.

Names of submitting institutions and individuals, as well as application content and peer evaluations, will be kept confidential, except to those involved in the review process, to the extent permitted by law. In addition, the identities of peer reviewers will remain confidential throughout the entire review process. Therefore, the names of the reviewers will not be released to applicants. At the end of the fiscal year, names of panelists will be made available in such a way that the panelists cannot be identified with the review of any particular application.

## **PART V--AWARD ADMINISTRATION**

### ***A. General***

Within the limit of funds available for such purpose, the awarding official of CSREES shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in this RFA. The date specified by the awarding official of CSREES as the effective date of the grant shall be no later than September 30 of the Federal fiscal year in which the project is approved for support and funds are appropriated for such purpose, unless otherwise permitted by law. It should be noted that the project need not be initiated on the grant effective date, but as soon thereafter as practical so that project goals may be attained within the funded project period. All funds granted by CSREES under this RFA shall be expended solely for the purpose for which the funds are granted in accordance with the approved application and budget, the regulations, the terms and conditions of the award, the applicable Federal cost principles, and the Department's assistance regulations (parts 3015 and 3019 of 7 CFR).

### ***B. Organizational Management Information***

Specific management information relating to an applicant shall be submitted on a one-time basis as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another CSREES program. CSREES will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information).

### ***C. Award Document and Notice of Award***

The grant award document will provide pertinent instructions and information including, at a minimum, the following:

- (1) Legal name and address of performing organization or institution to whom the Administrator has awarded a grant under the terms of this request for applications;
- (2) Title of project;
- (3) Name(s) and institution(s) of PD's chosen to direct and control approved activities;
- (4) Identifying grant number assigned by the Department;
- (5) Project period, specifying the amount of time the Department intends to support the project without requiring recompetition for funds;

- (6) Total amount of Departmental financial assistance approved by the Administrator during the project period;
- (7) Legal authority(ies) under which the grant is awarded;
- (8) Appropriate Catalog of Federal Domestic Assistance (CFDA) number;
- (9) Approved budget plan for categorizing allocable project funds to accomplish the stated purpose of the grant award; and
- (10) Other information or provisions deemed necessary by CSREES to carry out its respective granting activities or to accomplish the purpose of a particular grant.

## **PART VI--ADDITIONAL INFORMATION**

## ***A. Access To Review Information***

Copies of reviews, not including the identity of reviewers, and a summary of the panel comments will be sent to the applicant PD after the review process has been completed.

## ***B. Use of Funds; Changes***

### **1. Delegation of Fiscal Responsibility**

Unless the terms and conditions of the grant state otherwise, the grantee may not in whole or in part delegate or transfer to another person, institution, or organization the responsibility for use or expenditure of grant funds.

### **2. Changes in Project Plans**

- a. The permissible changes by the grantee, PD(s), or other key project personnel in the approved project grant shall be limited to changes in methodology, techniques, or other similar aspects of the project to expedite achievement of the project's approved goals. If the grantee or the PD(s) is uncertain as to whether a change complies with this provision, the question must be referred to the Authorized Departmental Officer (ADO) for a final determination. The ADO is the signatory of the award document, not the program contact.
- b. Changes in approved goals or objectives shall be requested by the grantee and approved in writing by the ADO prior to effecting such changes. In no event shall requests for such changes be approved which are outside the scope of the original approved project.
- c. Changes in approved project leadership or the replacement or reassignment of other key project personnel shall be requested by the grantee and approved in writing by the ADO prior to effecting such changes.
- d. Transfers of actual performance of the substantive programmatic work in whole or in part and provisions for payment of funds, whether or not Federal funds are involved, shall be requested by the grantee and approved in writing by the ADO prior to effecting such transfers, unless prescribed otherwise in the terms and conditions of the grant.
- e. Changes in Project Period: The project period may be extended by CSREES without additional financial support, for such additional period(s) as the ADO determines may be necessary to complete or fulfill the purposes of an approved project, but in no case shall the total project period exceed five years. Any extension of time shall be conditioned upon prior request by the grantee and approval in writing by the ADO, unless prescribed otherwise in the terms and conditions of a grant.

- f. **Changes in Approved Budget:** Changes in an approved budget must be requested by the grantee and approved in writing by the ADO prior to instituting such changes if the revision will involve transfers or expenditures of amounts requiring prior approval as set forth in the applicable Federal cost principles, Departmental regulations, or grant award.

### ***C. Expected Program Outputs and Reporting Requirements***

Each project awarded through this program is required to provide a one to two page technical summary of work completed for each year of the funded project. Successful applicants also are required to participate in an annual symposium (likely to be held in Washington, D.C.) where results and project outcomes are presented and discussed. Each project should include sufficient travel funds in the budget to allow for travel to those symposia.

Award recipients also are required to report progress to the appropriate Regional Water Quality Coordination Project (see description above). Progress reports and participation in appropriate regional water quality coordination efforts is expected as part of the award requirements.

At the completion of a project, award recipients are required to prepare a final technical report summarizing all work conducted during the project and detailing outcomes, accomplishments, and outputs of funded work. This report should be provided to the CSREES National Program Leader for Water Quality and to the appropriate Regional Water Quality Coordinator. This report should not exceed 15 single spaced typed pages.

### ***D. Applicable Federal Statutes and Regulations***

Several Federal statutes and regulations apply to grant applications considered for review and to project grants awarded under this program. These include, but are not limited to:

7 CFR Part 1.1--USDA implementation of the Freedom of Information Act.

7 CFR Part 3--USDA implementation of OMB Circular No. A-129 regarding debt collection.

7 CFR Part 15, subpart A--USDA implementation of Title VI of the Civil Rights Act of 1964, as amended.

7 CFR Part 3015--USDA Uniform Federal Assistance Regulations, implementing OMB directives (i.e., OMB Circular Nos. A-21 and A-122) and incorporating provisions of 31 U.S.C. 6301-6308 (formerly the Federal Grant and Cooperative Agreement Act of 1977, Pub. L. No. 95-224), as well as general policy requirements applicable to recipients of Departmental financial assistance.

7 CFR Part 3017--USDA implementation of Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants).

7 CFR Part 3018--USDA implementation of Restrictions on Lobbying. Imposes prohibitions and requirements for disclosure and certification related to lobbying on recipients of Federal contracts, grants, cooperative agreements, and loans.

7 CFR Part 3019--USDA implementation of OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

7 CFR Part 3052--USDA implementation of OMB Circular No. A-133, Audits of States, Local Governments, and Non-profit Organizations.

7 CFR Part 3407--CSREES procedures to implement the National Environmental Policy Act of 1969, as amended.

29 U.S.C. 794 (section 504, Rehabilitation Act of 1973) and 7 CFR Part 15b (USDA implementation of statute)-- prohibiting discrimination based upon physical or mental handicap in Federally assisted programs.

35 U.S.C. 200 et seq.--Bayh-Dole Act, controlling allocation of rights to inventions made by employees of small business firms and domestic nonprofit organizations, including universities, in Federally assisted programs (implementing regulations are contained in 37 CFR Part 401).

### ***E. Confidential Aspects of Applications and Awards***

When an application results in a grant, it becomes a part of the record of CSREES transactions, available to the public upon specific request. Information that the Secretary determines to be of a confidential, privileged, or proprietary nature will be held in confidence to the extent permitted by law. Therefore, any information that the applicant wishes to have considered as confidential, privileged, or proprietary should be clearly marked within the application. The original copy of an application that does not result in a grant will be retained by the Agency for a period of one year. Other copies will be destroyed. Such an application will be released only with the consent of the applicant or to the extent required by law. An application may be withdrawn at any time prior to the final action thereon.

### ***F. Regulatory Information***

For the reasons set forth in the final Rule-related Notice to 7 CFR part 3015, subpart V (48 FR 29114, June 24, 1983), this program is excluded from the scope of the Executive Order 12372 which requires intergovernmental consultation with State and local officials. Under the provisions of the Paperwork Reduction Act of 1995 (44 U.S.C. chapter 35), the collection of



information requirements contained in this Notice have been approved under OMB Document No. 0524-0039.

## ***G. Definitions***

- (1) *Administrator* means the Administrator of the Cooperative State Research, Education, and Extension Service (CSREES) and any other officer or employee of the Department to whom the authority involved may be delegated.
- (2) *Authorized departmental officer* means the Secretary or any employee of the Department who has the authority to issue or modify grant instruments on behalf of the Secretary.
- (3) *Authorized organizational representative* means the president or chief executive officer of the applicant organization or the official, designated by the president or chief executive officer of the applicant organization, who has the authority to commit the resources of the organization.
- (4) *Budget period* means the interval of time (usually 12 months) into which the project period is divided for budgetary and reporting purposes.
- (5) *Cash contributions* means the applicant's cash outlay, including the outlay of money contributed to the applicant by non-Federal third parties.
- (6) *Department* or *USDA* means the United States Department of Agriculture.
- (7) *Education activity* means formal classroom instruction, laboratory instruction, and practicum experience in the food and agricultural sciences and other related matters such as faculty development, student recruitment and services, curriculum development, instructional materials and equipment, and innovative teaching methodologies.
- (8) *Extension activity* means an act or process that delivers science-based knowledge and informal educational programs to people, enabling them to make practical decisions.
- (9) *Grant* means the award by the Secretary of funds to an eligible organization or individual to assist in meeting the costs of conducting, for the benefit of the public, an identified project which is intended and designed to accomplish the purpose of the program as identified in these guidelines.
- (10) *Grantee* means an organization designated in the grant award document as the responsible legal entity to which a grant is awarded.
- (11) *Integrated* means to bring the three components of the agricultural knowledge system (research, education, and extension) together around a problem area or activity.
- (12) *Matching* means that portion of allowable project costs not borne by the Federal Government, including the value of in-kind contributions.
- (13) *Peer review* means an evaluation of a proposed project for scientific or technical quality and relevance performed by experts with the scientific knowledge and technical skills to conduct the proposed work or to give expert advice on the merits of a proposal.
- (14) *Principal investigator/Project director* means the single individual designated by the grantee in the grant application and approved by the Secretary who is responsible for the direction and management of the project.
- (15) *Prior approval* means written approval evidencing prior consent by an authorized departmental officer as defined in (2) above.
- (16) *Project* means the particular activity within the scope of the program supported by a grant award.
- (17) *Project period* means the period, as stated in the award document and modifications thereto, if any, during which Federal sponsorship begins and ends.

(18) *Research activity* means a scientific investigation or inquiry that results in the generation of knowledge.

(19) *Secretary* means the Secretary of Agriculture and any other officer or employee of the Department to whom the authority involved may be delegated.

(20) *Third party in-kind contributions* means non-cash contributions of property or services provided by non-Federal third parties, including real property, equipment, supplies and other expendable property, directly benefiting and specifically identifiable to a funded project or program.

(21) *Total integrated, multifunctional research, education, and extension approach* means that the combination of grants (although the individual grants may involve only research, education, or extension activities or a combination thereof) awarded under the fiscal year's program components will work together to address the priorities in United States agriculture as determined by the Secretary of Agriculture in consultation with the Advisory Board, that involve integrated research, extension, and education activities.